

73230.1
PATENT

10/510889
DOCKET 13632PCTUS
DT04 Rec'd PCT/PTO 08 OCT 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: LENDLEIN, *et al.* Examiner: To be assigned
Serial No.: To be assigned Group Art Unit: To be assigned
Filed: Herewith
For: Method of Achieving a Shape Memory Effect on Hair Using Cationic Agents
Customer No.: 23719 Kalow & Springut LLP
488 Madison Avenue, 19th Floor
New York, New York 10022

October 8, 2004

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

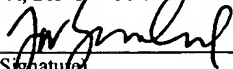
Applicants submit herewith the following disclosure in accordance with the provisions of
37 C.F.R. §§ 1.97 and 1.98.

I. FOREIGN PATENT DOCUMENTS

<u>Publication No.</u>	<u>Country</u>	<u>Publication Date</u>
EP 0 422 693 A	EU	17 April 1991
US 6 156 842 A	United States	5 December 2000
WO 99 42528 A	EU	26 August 1999
WO 99 42147 A	EU	26 August 1999
WO 03/084490 A1		16 October 2003
WO 03/084491 A1		16 October 2003

Certificate of Express Mailing Under 37 C.F.R. § 1.10

I hereby declare that on the date indicated below, this correspondence is being deposited with the United States Postal Service via
Express Mail Label No. EV 279583062 US in an envelope addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria,
VA, 22313-1450 on the date shown below.


(Signature)

Tor Smeland
(Printed Name of Person Signing Certificate)

October 8, 2004
(Date)

II. NON PATENT PUBLICATIONS

International Search Report for PCT/EP03/03733 dated April 10.2003.

A. Lendlein *et al.*, "AB-Polymer Networks Based On Oligo(epsilon-Caprolactone) Segments Showing Shape-memory Properties," *Proc. Natl. Acad. Sci. USA*, vol. 98, no. 3, January 2001 (2001-01), Pages 842-847, XP002251532.

A. Lendlein *et al.*, "Formgedächtnispolymere," *Angewandte Chemie*, vol. 114, no. 12, 17 June 2002 (2002-06-17), pages 2138-2162, XP002251533 Weinheim.

Database WPI, Section Ch, Week 199214, Derwent Publications Lt., London, GB; Class A12, AN 1992-109202 XP002251534 & JP 04 050234 A (Asahi Chem Ind Co Ltd), 19 February 1992 (1992-02-19) abstract.

Patent Abstracts of Japan, vol. 016, no. 213 (C-0942, 20 May 1992 (1992-05-20) & JP 04 0451416 A (Noevir Co Ltd; Others: 01), 12 February 1992 (1992-02-12).

The items listed above are identified on the accompanying Form PTO/SB/08. A copy of each of the items identified above is also submitted with this statement.

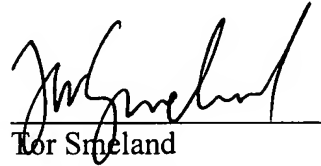
Applicants take no position on whether any of the items cited above and listed on the accompanying Form PTO/SB/08 constitute prior art against the subject application under any particular provision of Title 35 of the United States Code.

Applicant: LENDLEIN, *et al.*
Serial No.: To be assigned
Filed: Herewith
Information Disclosure Statement
October 8, 2004
Page 3 of 3

10/510889
DT04 Rec'd PCT/PTO 08 OCT 2004

Because no action has been taken on the merits, Applicants submit that no fee is due at this time. However, if a fee is deemed necessary, please charge Deposit Account No. 11-0171.

Respectfully submitted,



Tor Smeland
Registration No.: 43,131
Attorney for Applicant

Kalow & Springut LLP
(212) 813-1600

Complete if Known.

(Use as many sheets as necessary)

Application Number	To be assigned
Filing Date	Filed herewith
First Named Inventor	LENDLEIN, Andreas
Art Unit	To be assigned
Examiner Name	To be assigned
Attorney Docket Number	13632PCTUS

[illegible]

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)				
		EP 0 422 693 A	04/17/91	Thoratec Lab Corp		
		WO 99 42528 A	12/05/00	Mnemoscience GMBH		
		WO 99 42147 A	08/26/99	MIT		
		WO 03/084490 A1	10/16/03	Mnemoscience GMBH		
		WO 03/084491 A1	10/16/03	Mnemoscience GMBH		

Date	
Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	To be assigned
Filing Date	Filed herewith
First Named Inventor	LENDLEIN, Andreas
Art Unit	To be assigned
Examiner Name	To be assigned
Attorney Docket Number	13632PCTUS

Sheet

2

of

2

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		LENDLEIN, A. et al. "A-B Polymer Networks Based on Oligo(epsilon-caprolactone) Segments Showing Shape-memory Properties," Proc. Natl. Acad. Sci. USA, vol. 98, No. 3, January 2001 (2001-01), Pages 842-847.	
		LENDLEIN, A. et al. "Formgedachtnispolymere," Angewandte Chemi, vol. 114, No. 12, 17 June 2002, pages 2138-2162.	
		Database WPI, Section Ch. Week 199214, Derwent Publications Ltd., London, GB; Class A12, AN 1992-109202 XP002251534 & JP 04 050234 A (Ashahi Chem Ind Co Ltd), 19 February 1992 (1992-02-19)	
		Patent Abstracts of Japan vol. 016, No. 213 (C-0942), 20 May 1992 (1992-05-20) & JP 04 041416 A (Noevir Co Ltd; others: 01), 12 February 1992 (1991-02-12)	
		International Search Report for PCT/EP03/03735	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.